

30 September 1980

OFFICE OF PERSONNEL POLICY, PLANNING, AND MANAGEMENT MEMORANDUM

SUBJECT: Implementing Procedures for Uniform Selection Guidelines

1. Overview.

The Uniform Guidelines on Employee Selection Procedures are a set of Federal regulations that govern the use of tests and other selection procedures. The Uniform Guidelines apply to any selection procedure used as a basis for any employment decision such as hiring, promotion, demotion, and retention and require an employer to maintain records that disclose the impact that its tests and other selection procedures have upon employment opportunities of persons by race, sex, and ethnic groups.

The records required are based on the total selection process for a particular job or job category; that is, the bottom line. When the information suffices, an inference is drawn as to adverse impact, which the Uniform Guidelines define as "a substantially different rate of selection in hiring, promotion, or other employment decisions which work to the disadvantage of members of a racial, sex, or ethnic group." The rule of thumb adopted by the Uniform Guidelines for this purpose is the four-fifths or 80% rule, which means that, if the selection rate for one group is less than four-fifths or 80% of that for another group, adverse impact is inferred.

If the records show that the total selection process for a job or job category does not support an inference of adverse impact, the employer usually does not have to do anything more. If the records do support an inference of adverse impact, the total selection process for the job or job category concerned must be evaluated to identify which individual procedure (e.g., test, interview, etc.) is causing the adverse impact. Once the procedure is identified, the Uniform Guidelines allow the employer essentially three options: (1) eliminate it, (2) modify it to lessen the adverse impact, or (3) justify its use as a business necessity. This last option normally involves validation, which is the demonstration of the relation between performance on a selection procedure and performance on the job.

The following procedures have been developed to assist Personnel Officers in the collection and maintenance of data on applicants and promotions as required by the Uniform Guidelines and the Agency's Implementation Plan approved by the DDCI.

2. Definition of Applicant.

An individual becomes an applicant for a professional or technical job or job category when an Agency component (i.e., Office or Division) either:

- a. Reviews the individual's application materials (e.g., resume or Personal History Statement) forwarded to the component by OPPPM, or
- b. Arranges an interview with the individual following review of application materials received by the component from a source other than OPPPM.

An individual becomes an applicant for a clerical job or job category when he or she completes the clerical test administered by OPPPM.

3. Promotion Data.

It was originally suggested that promotion data, like applicant data, be kept by occupational family code, but after discussions with Directorate level Personnel Officers this seemed virtually impossible. Since it appears to be much easier for Directorates to compile and maintain promotion data by grade, components need submit these data by grade only.

4. Race and Sex Data.

When race, sex, or ethnic group origin cannot be obtained by self identification, these data will be obtained by visual observation when possible; that is, the interviewer should complete the identification form.

5. Clerical Applicants.

- a. Components will not be responsible for maintaining clerical applicant data.
- b. Clerical applicants will complete self-identification forms just prior to testing.
- c. All information on clerical applicants obtained by field recruiters will be forwarded to the Clerical Staffing Branch, which will be responsible for submitting a report to the Professional Staffing Branch (PSB), on all clerical applicants considered. The report will be submitted quarterly and will include cumulative totals. The report will be due in PSB by the 15th of each month following the end of a quarter but will cover the quarter previous to that ended. For example, the report for October - December 1980 will be due in PSB on 15 April.

6. Accuracy of Data.

One of the major areas of concern is the maintenance of accurate data on applicants who withdraw or are cancelled out between the time an office expresses interest and places in process. The following guidelines apply:

- a. An applicant who has identified himself or herself by more than one race or ethnic category (e.g., Black and Hispanic) will be counted in only one such category. In most instances, ethnicity will override race; for example, an applicant self-identified as Black and Hispanic will be counted as Hispanic.
- b. When a professional applicant is considered for positions in different job categories (i.e., job family codes), he or she will be counted as an applicant for each category if no interest is expressed. If interest is noted procedures d, e, f, and g of this paragraph apply.
- c. Even though an office does not return a professional file within the time allotted, the office remains responsible for providing PSB or the OPPPM Minority Employment Coordinator (MEC), with the reason for not selecting the applicant.
- d. When an applicant is rejected as a result of an interview, testing, or for any other cause, the specific reason will be recorded by the office on the routing sheet provided and returned to PSB or MEC as appropriate.
- e. If an applicant is put in process for an office when others have also expressed interest, PSB or MEC will be responsible for informing the unsuccessful offices which will cancel the applicant and not count him or her as having been considered. If no interest is expressed in an applicant, all offices which reviewed the application will record the individual as an applicant.
- f. When an applicant withdraws, fails to respond to correspondence, or does not show for testing and/or interview, PSB or MEC will notify all offices which expressed interest in the individual. These offices will then be responsible for canceling the applicant and not counting him or her as having been considered.
- g. For those applicants rejected for security or medical reasons, PSB will notify interested offices, but there will be no adjustment of data.

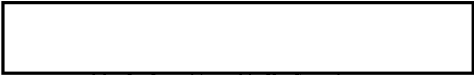
7. Applicants for Non-Permanent Employment.

- a. All applicants being considered for positions of employment exceeding one year's duration will be counted except:
 1. Spouses (or others) to be employed temporarily at field installations, and,
 2. Intermittent (contract or staff) employees when nonpermanent status is obvious regardless of length of appointment.
- b. Applicants for the Student Trainee, Graduate Fellow, and Summer Only Programs will not be counted, unless later considered for permanent positions.
- c. All employees being considered for conversion from temporary to permanent status should be counted by the gaining component at the time of such consideration.

8. Data Submission Schedule.

- a. Offices will submit reports of applicant data (by name) and promotion data to the Directorate Personnel Officer quarterly.
- b. Directorate Personnel Officers will consolidate component applicant data and submit reports to PSB, which will be responsible for reviewing and monitoring the reports and for submission of a duplicate report to the Office of Equal Employment Opportunity. Reports of promotion data will be submitted by Directorate Personnel Officers to the Professional Placement Branch (PPB).
- c. The Directorate reports to PSB and PPB will be provided quarterly and will include cumulative totals. These reports will be due in Staff Personnel Division no later than the 15th of the month following the end of a quarter. To be more meaningful, the first applicant data reports, including cumulative totals, will initially be delayed by one quarter; that is, the first report will be due April 15, 1981 and will cover the quarter October through December 1980, the first reporting period.
- d. PSB will provide each Directorate with a quarterly alpha listing of all applicant files that have been sent to more than one office within that Directorate. The listing will designate the offices reviewing the applicant files.
- e. The Career Training Program will report information directly to PSB and PPB. Career Trainees will not be counted in Directorate applicant statistics.

- f. All employees eligible for promotion will be counted as considered regardless of time-in-grade. Personnel promoted into a grade level will not be counted as considered in that grade until competitively reviewed or ranked. Except for Career Trainees, "automatic" promotions (i.e., those not competitively reviewed) will be included in overall Directorate statistics.


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